

**TITLE:**

**Faculty Professionalism Policy**

**SUMMARY AND PURPOSE:**

As educators, Chicago Medical School (CMS) faculty are expected to uphold the highest standards for professional conduct and ethical behavior. Faculty are expected to treat everyone in the work environment (including colleagues, students, clinical and research team members, staff, patients and visitors) with courtesy, respect and dignity. In addition, faculty are responsible for cultivating a respectful and inclusive work environment, for modeling professional conduct and for instilling the ethical precepts of medicine and science to be honest, fair and respectful to students and trainees. This policy defines professionalism and unprofessional behavior and provides a framework for reporting and dealing with unprofessional behavior.

**APPROVED BY:** Dean's Executive Council (formerly known as Faculty Executive Council)

**APPROVAL DATE:** January 26, 2021 (revised)

**EFFECTIVE DATE:** January 26, 2021

**APPLIES TO:** All CMS Faculty

**RESPONSIBLE PARTY:** Office of Faculty Affairs and Equity

**RESPONSIBLE PARTY CONTACT:** Vice Dean for Faculty Affairs and Equity

**LAST REVIEWED:** January 26, 2021

**SUPERSEDES:** N/A

**POLICY STATEMENTS:**

CMS aims to foster a just and safe educational community by encouraging high standards for professional conduct and ethical behavior. Unprofessional behavior will be addressed, with interventions aimed at promoting insight, accountability, and appropriate changes in behavior. Unprofessional behaviors may result in sanctions, up to and including the initiation of termination proceedings.

### **DEFINITIONS:**

Professionalism: Actions that embody professionalism in the academic medicine community include, but are not limited to the following behaviors:

1. Adheres to high ethical and moral standards
2. Conducts academic work with integrity, including adhering to institutional and federal policies on responsible conduct of research and conflict of interest
3. Demonstrates intellectual honesty
4. Evinces core humanistic values, including honesty and integrity, caring and compassion, altruism and empathy, collegiality, respect for others, and trustworthiness
5. Takes personal action to support equity and inclusion
6. Is able to subordinate own interests to the interests of others when appropriate
7. Exercises accountability individually and for colleagues
8. Demonstrates a lifelong commitment to excellence
9. Exhibits a commitment to scholarship
10. Deals appropriately with high levels of complexity and uncertainty
11. Reflects upon actions and decisions
12. Assures one's own fitness for duty

Unprofessional behavior: Actions that embody unprofessional behavior in the academic medicine community include, but are not limited to the following behaviors:

1. Bullying, disrespectful, disruptive, intimidating, threatening, violent behaviors that violate Rosalind Franklin University (RFU) bylaws
2. Inappropriate fiscal management

Title IX of the Education Amendments Act is the federal law that states: "No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving Federal financial assistance."

Title IX Complaint: A gender-based discrimination that may limit a person's access to benefits or opportunities. It includes, but is not limited to, sexual harassment and sexual violence.

Non-Title IX Complaint: A complaint not based on gender discrimination.

### **PROCEDURES, FORMS, AND RESOURCES:**

The following procedures are for reporting violations or concerns about unprofessional non- Title IX complaints. Title IX complaints should be reported directly to the Title IX university coordinator.

Reports of possible “research misconduct” shall be made to the Executive Vice President for Research, in accordance with and as further described in the University’s *Manual on Responding to Allegations or Evidence of Possible Research Misconduct*.

Unprofessional behavior that is non-Title IX or research misconduct may be directly raised with the offending person, as the person may be unaware of how their behavior is affecting others. Alternatively, CMS students, faculty, and staff can report faculty unprofessional behavior to a supervisor including a discipline chair, research center director, site director at the affiliate, CMS Assistant Dean for Educational Research and Student Learning (ERSL), Senior Associate Dean for Academic Learning Environment (ALE), Senior Associate Dean for Student Affairs and Education (SAE), Assistant Dean of Clinical Education, Associate Dean for Graduate Medical Education/ Continuing Medical Education (GME/CME) or Executive Vice President of Research. In addition, reports may go directly to the Director of Faculty Affairs (DFA).

CMS students, residents, faculty and staff can report faculty unprofessional behavior through the University online evaluation platform or using the CMS Faculty Professionalism Complaint Reporting Form.

Concerns about faculty unprofessional behavior may also be reported to the Office of Compliance directly and anonymously through EthicsPoint by dialing 1-800-254-0460 or by navigating to their website at <http://rosalindfranklin.ethicspoint.com>. These methods are available 24/7/365 to report any concerns, including concerns about unprofessional faculty conduct. Information from calls to this line is transferred to the RFU Compliance Office. Concerns are reviewed by the compliance officer, and when appropriate, referred to the relevant office(s) to follow up. Reports through EthicsPoint can be made anonymously, however, efforts to address disruptive behavior are generally more effective when the information including people affected are as specific as possible. When it is safe to do so, reporters are encouraged to identify themselves, however they may alternatively make arrangements with EthicsPoint to call back to answer additional questions that may come up as the complaint is investigated.

Reports of unprofessional faculty behavior will be investigated by the Senior Associate Dean for ALE, who shall notify the dean and refer for appropriate follow-up. The learner and respondent are then notified of the investigation outcome.

The Senior Associate Dean for ALE may choose to forward the outcome to the CMS Director of Faculty Affairs (DFA). The DFA will refer all research-related unprofessional non- discrimination based faculty behavior to the Executive Vice President of Research. For non- research non-Title IX unprofessional faculty behavior, the DFA will determine if a formal peer review is appropriate and in such cases they will refer the matter to the RFU Vice President of Faculty Affairs.

If the DFA concurs that an informal peer review is appropriate they will refer the matter to the CMS Faculty Professionalism Council who may recommend a possible professional development plan with the discipline chair, research center director, site director at the affiliate, Senior Associate Dean for ALE, Senior Associate Dean for SAE, Assistant Dean of Clinical Education, or Associate Dean for GME/CME, as appropriate. The supervisor will communicate in writing the development plan with the faculty.

The development plan is designed to promote the growth of the faculty. The supervisor of the faculty will be responsible for implementing the development plan. The supervisor of the faculty, will report back to the Office of ALE that the development plan has been implemented.

The DFA will keep a record of reports of unprofessional non-discrimination based faculty behavior. If additional complaints are reported about the faculty member, the DFA will discuss this with the Senior Associate Dean of ALE in order to determine if additional development plans may be beneficial or if the matter needs to be forwarded to the CMS Dean and/or RFU Vice President of Faculty Affairs. For cases in which the complaint was not made anonymously, the DFA will report back in writing to the individual who reported the complaint that action was taken.

It is important to note that this policy is not meant to replace existing formal institutional resources, but will provide an alternative informal mechanism for a peer review of faculty conduct. Faculty issues that are not resolved using these procedures may be referred to other resources at RFU including the Vice President of Faculty Affairs and Vice President of Student Success and Inclusion.

**HISTORY (IF APPLICABLE):**

- January 26, 2021 – Policy revised to remove reference to the Learner Mistreatment Complaint Form and to include language on the Faculty Professionalism Complaint Reporting Form.
- March 3, 2020 – Policy revised to clarify the investigative process once reports of unprofessional faculty behavior are received.
- October 22, 2019 – Policy created to align with procedures in-place.